

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: A. Paul Alivisatos

Application No.: 10/599,252

Group No.: Unknown

Filed: September 22, 2006

Examiner: Unknown

For: Hollow Nanocrystals and Method of Making

Mail Stop: Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

I. This information disclosure statement is filed pursuant to (**CHECK ONE BOX**): **37 CFR 1.97(b)**

This information disclosure statement is filed either:

- (1) within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
- (2) within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
- (3) before the mailing of a first Office action on the merits; or
- (4) before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*

*(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

37 C.F.R. § 1.8(a)

with sufficient postage as first class mail.

37 C.F.R. § 1.10*

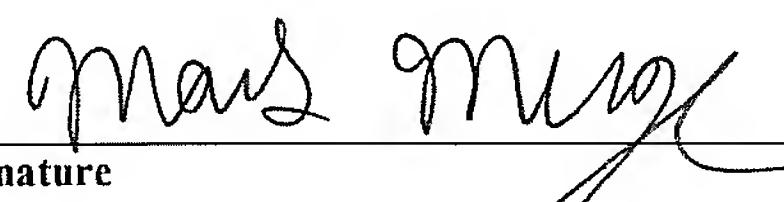
as "Express Mail Post Office to Addressee"
Mailing Label No. _____ (mandatory)

TRANSMISSION

facsimile transmitted to the Patent and Trademark Office, (703) _____ - _____.

electronically filed.

Date: 05/09/2007


Signature

Mark Menge
(type or print name of person certifying)

* Only the date of filing (' 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under ' 1.8 continues to be taken into account in determining timeliness. See ' 1.703(f). Consider "Express Mail Post Office to Addressee" (' 1.10) or facsimile transmission (' 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

Accordingly, this information disclosure statement requires no fee and no statement.

37 CFR 1.97(c)

This information disclosure statement is filed **after** the period specified in paragraph 37 CFR 1.97(b), but **before** the mailing date of any of the following:

- (1) a final action under § 1.113;
- (2) a notice of allowance under § 1.311; **or**
- (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either:

- (1) the statement specified in paragraph 37 CFR 1.97(e)(1) or (2); **or**
- (2) the fee set forth in § 1.17(p) for submission of an information disclosure statement under 37 CFR 1.97(c).

37 CFR 1.97(d)

This information disclosure statement is filed **after** the period specified in paragraph 37 CFR 1.97(c), provided that the information disclosure statement is filed on or before payment of the issue fee and is accompanied by:

Accordingly, this information disclosure statement requires:

- (1) the statement specified in paragraph 37 CFR 1.97(e)(1) or (2); **and**
- (2) the fee set forth in § 1.17(p) for submission of an information disclosure statement under 37 CFR 1.97(d)..

If this information disclosure statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 CFR 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

II Fees Due (CHECK ONE BOX):

No fee is due.

The fee as set forth in § 1.17(p) for submission of an information disclosure statement under 37 CFR 1.97(c) or (d) is enclosed (**\$180**).

III Statement (CHECK ONE BOX):

No statement is necessary.

Pursuant to 37 CFR 1.97(e)(1), the undersigned hereby certifies:
That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; **or**

Pursuant to 37 CFR 1.97(e)(2), the undersigned hereby certifies:
That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this information disclosure statement.

Date: 5/7/2007



R'Sue P. Caron
Registration No. 52,699
Lawrence Berkeley National Laboratory
Office of the Laboratory Counsel
One Cyclotron Road MS 90B0104
Berkeley, CA 94720
510-486-6503
Customer No. 8076